



Attorney Docket No.: 5753.204-US

JC19 Rec'd PCT/PTO T 1 JUN 2001 #3  
PCT

09/831,656 PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Nielsen et al.

Serial No.: 09/831,656 ✓

Confirmation No:

Group Art Unit: To Be Assigned

Filed: May 12, 2001

Examiner: To Be Assigned

For: Transgenic Plant Expressing Maltogenic Alpha-Amylase

CERTIFICATE OF MAILING UNDER 37 CFR 1.8(a)

Box DD  
Commissioner for Patents  
Washington, DC 20231

Sir:

I hereby certify that the attached correspondence comprising:

1. Information Disclosure Statement
2. Form PTO-1449
3. Copy of References

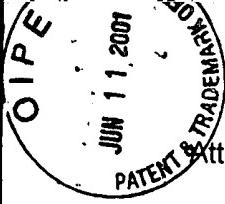
is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Box DD  
Commissioner for Patents  
Washington, DC 20231

on June 4, 2001.

Kelley O'Patry  
(name of person mailing paper)

(signature of person mailing paper)



Attorney Docket No.: 5753.204-US

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Nielsen et al.

Serial No.: 09/831,656

Confirmation No: To Be Assigned

Group Art Unit: To Be Assigned

Filed: May 12, 2001

Examiner: To Be Assigned

For: Transgenic Plant Expressing Maltogenic Alpha-Amylase

**INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97(c)**

Commissioner for Patents  
Washington, DC 20231

Sir:

In accordance with 37 C.F.R. 1.56, 1.97 and 1.98, Applicants submit herewith references which they believe may be material to the patentability of this application and with respect to which there may be a duty to disclose in accordance with 37 C.F.R. 1.56.

While the references may be "material" under 37 C.F.R. 1.56, it is not intended to constitute an admission that the references are "prior art" unless specifically designated as such.

The filing of this Information Disclosure Statement shall not be construed as a representation that no other material references than those listed exist or that a search has been conducted.

The references are listed in Form PTO-1449 which is in accordance with the requirements of M.P.E.P. 609. A copy of the references is also enclosed. The references are as follows:

1. WO 98/18332
2. Diderichsen et al., "Cloning of maltogenic alpha-amylase from *Bacillus stearothermophilus*"; FEMS Microbiol. Lett. 56: 53-60 (1988).
3. EP 0 120 693
4. WO 97/32986
5. Barro et al., "Transformation of wheat with high molecular weight subunit genes results in improved functional properties", Nature Biotechnology, Volume 15, November 1997.
6. WO 92/01042
7. WO 00/08185
8. WO 99/43794
9. WO 99/43793
10. EP 0 781 849 A1
11. EP 0 479 359 A1

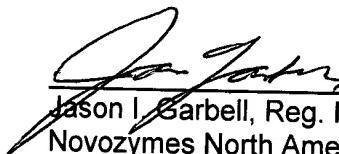
12. WO 91/14772
13. WO 91/04669
14. Christophersen et al., "Enzymatic Characterization of Novamyl, a Thermostable alpha-amylase", Starch 50 (1988) Nr. 1, S. 39-45.
15. Vickers et al., "Assessment of Bacillus Bicheniformis alpha-amylase as a Candidate Enzyme For Genetic Engineering of Malting Barley", J. Inst. Brew., March-April , 1996, Vol. 102, pp. 75-78.

It is respectfully requested that these references be considered by the Patent and Trademark Office in its examination of the above-identified application and be made of record therein. The Examiner is also invited to contact the Undersigned if there are any questions concerning this paper or the attached references.

The information disclosure statement submitted herewith is being filed **within** three months of the filing date of a national application or date of entry into the national stage of an international application, or **before** the mailing date of a first Office action on the merits, or **before** the mailing date of a first Office action after the filing of a request for continued examination. Therefore, no fee is due.

Respectfully submitted,

Date: June 4, 2001



---

\_\_\_\_\_  
Jason I. Garbell, Reg. No. 44,116  
Novozymes North America, Inc.  
405 Lexington Avenue, Suite 6400  
New York, NY 10174-6401  
(212) 867-0123